


Date: March 18, 2008  
To: Faculty of Arts and Sciences-Newark  
From: Philip L. Yeagle  
Dean of Faculty   
Re: Faculty Meeting

There will be a meeting of the Faculty of Arts and Sciences-Newark on Wednesday, March 26, 2008 at 2:30 p.m. in Room 220, Smith Hall.

The agenda will be as follows:

- I. Approval of Minutes
- II. Dean's Report
- III. Committee Reports
  - a. Committee on Governance, Bylaws and Nominations
  - b. Courses of Study
  - c. Scholastic Standing
- IV. University Senate
- V. New Business
- VI. Old Business

*\*Faculty Minutes are now available on the FASN Dean's web-site:*  
<http://honorsnewark.rutgers.edu/fasn/>

Date: March 26, 2008  
To: Faculty of Arts and Sciences – Newark  
From: Frances Bartkowski, Chair  
Courses of Study Committee *FB (vs)*

The committee recommends approval for the following course requests:

**I. Economics**

**Change in Title**

From: 21&62:220:361 Industrial Organization (3 credits)

To: 21&62:2220:361 Competition, Strategy, and the Organization of Industries (3credits)

Date: March 14, 2008  
To: Faculty of Arts and Sciences – Newark  
From: William Keigher, Chair  
Scholastic Standing Committee

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The FASN Scholastic Standing Committee proposes the following changes in policy regarding (1) withdrawal from courses, (2) the repeating course option, and (3) limiting the number of times a student may take a course.

### **Withdrawal Policy**

The Committee proposes that withdrawals from courses (after the drop deadline and before the withdrawal deadline) be separated into two types: excused and unexcused. Students seeking an excused withdrawal on the grounds of a medical, personal, or family emergency preventing the student from completing a given course would need to secure approval from the Office of the Dean of Student Affairs. Students would be allowed five unexcused withdrawals during his/her academic career at Rutgers-Newark. Any withdrawals beyond the limit of five unexcused withdrawals would require the permission of the Office of the Dean of Student Affairs. There would be no limit on the number of excused withdrawals for a student.

Rationale: The committee has seen numerous cases in which students have large numbers of withdrawals, with some students having withdrawn from more than twenty classes. It is not at all a rare phenomenon for the committee to see transcripts with more than ten withdrawals.

When students withdraw from classes, it amounts to a waste of scarce university resources, as seats in classes go unused and students forfeit any further possibility of learning in that course. If roughly four students withdraw from each class of forty, then in a campus with five thousand students taking an average of five classes per term, a total of over sixty classes' worth are wasted each semester through withdrawals.

The committee believes that some students are giving up too easily and are withdrawing from classes they could have passed. It also believes that some students are habitually using withdrawals, accomplishing little more than delaying their dismissal from the university.

### **Repeating Course Policy**

The Committee proposes that any student be allowed only two occasions during their academic career at Rutgers-Newark on which to use the repeating course option. (Under the repeating course option, students who repeat a course and earn a higher grade have the lower grade removed from

the GPA; although it is no longer counted in the GPA, the lower grade remains on the transcript and is coded with an "E" prefix).

Rationale: The committee has repeatedly encountered the following problem: Because the grounds for placement on probation and dismissal for poor work include having consecutive terms with a GPA below 2.0, it creates enormous problems when students repeat a course and thus erases an old grade from the GPA. What happens is that students dismissed protests that because the old grade has now been erased, the term average that originally was below 2.0 no longer is. We end up dismissing these students anyway, but it creates great difficulties.

In examining this problem, the committee began to wonder what rationale there is for, in effect, falsifying history by going back to older semesters and changing the student's GPA. It has not been able to think of one. It should be noted that the committee is not proposing to prevent students from repeating courses in which they earned low grades; it is just proposing to cap the number of times a student could have old grades removed from the GPA. Without this repeating course option, students would simply average the old and new grades for repeated courses.

The closest thing to a justification the committee could think of for the repeating course option is increasing student retention. It has two responses: 1) retention is not simply about clinging to the very worst students a university has, but is properly a question of satisfying and keeping the students who can actually do the work required; 2) in many cases, the students who rely heavily on the repeating course option end up being dismissed anyway; the option simply protracts the entire process.

### **Limit on Repeating Courses**

The Committee proposes that any student be limited to taking a given course a maximum of three times, including withdrawals.

Rationale: Here the rationale is similar to those just noted. Students who take a given course over and over again are using scarce university resources, and in many cases simply delaying their eventual dismissal from the university.

In some cases, students who fail a course five or six times would be better off simply changing majors to avoid that course.

**FACULTY OF ARTS AND SCIENCES MEETING**  
**Wednesday, December 5, 2007**

**Present:**

Barr, Bartkowski, Boylan, Butterfield, Carruthers, Cohen, Collins, Coate, Cowans, DaCosta-Holton, Diaz, Ehrlich, Farney, Franklin, Gao, Gardiner, Gates, Gilman, Graham, Guo, Hadas, S. Hall, Hartjen, Holzapfel, Huskey, Keigher, Key, Kiniry, Kressel, Kynard, Lalancette, Lew, Loeb, Loftin, Lomas, Lynch, Lurie, Maiello, Mao, Martin, Michael-Luna, Middlemass, Morrison, Murnick, Oertel, Randall, Robbins, Rollino, C. Russell, F. Russell, Sadovnik, Satter, Schock, Schorr, Shelstad, Sheridan, Shiffrar, Siegel, Slater, Sloan-Power, Snyder, Spruch, Sternberger, Stubblefield, Sturm, Swarts, Thompson, VanderHoff, Watson, White, Wibrowski, Wu.

**Excused:**

Bonder, Collins, B. Ferguson, Floreen, Foley, Golden, Holmstrom, Larson, Peterman, Phillips, Porter, Znayenko.

**Approval of Minutes**

The Minutes of the April 25, 2007 meeting were approved as presented.

**Dean's Report**

Dean Yeagle began by announcing the recent appointment of Dr. John Gunkel as Associate Dean of Undergraduate Education. In addition, the Dean noted that Dr. Gunkel would continue to preside over the Honors College.

Dean Yeagle informed faculty of the latest developments regarding the strategic planning process introduced at the previous FASN faculty meeting:

- The strategic plan will be completed by the end of the semester and faculty participation will be at departmental levels. The results from this plan will be utilized as the guidelines for decision making in the future.
- Several faculty recruitments previously implemented are underway and all new searches will be based on the outcome at the conclusion of the academic planning process.
- Council of Chairs has been working on the planning process and budgetary issues.
- Working with the Office of Student Affairs and the University jointly regarding improvements in advisement to students.
- The Development office is proceeding with new plans for external fundraising including the proposals submitted last year.
- Planning new mechanisms for research support as well as searches for new foundation support for a wide variety of FASN programming.
- New educational programming (summer, winter, and off-campus, etc.) will help with building relationships with other organizations in terms of growth, increases in funds support in hiring, and direct support for departments.

- Discussions continue concerning the ramification of the concepts presented in the FUE Report:
  - Determining the impact
  - What are the benefits (faculty, students and educational programs)?
  - What are the costs and will the benefits outweigh the costs?

Dean Yeagle concluded his report by informing faculty about current budget issues. The Dean stated that no specific decisions have been made and continue discussions relating to potential budget-cuts, along with the challenges facing Rutgers.

### Courses of Study Committee

Professor Frances Bartkowski, Chair of the Committee, moved for the adoption of Section I, II, III, IV, V, and VI of the Committee's November 26, 2007 report. Her motion was seconded and approved. Professor Bartkowski moved for the adoption of Section VII noting the following corrections:

From: 21&62:098                      Communication Skills  
To:    **21&62:355:098**                **Communication Skills**

From: 21&62:099                      Communication Skills II  
To:    **21:&62:355:099**                **Communication Skills II**

Professor Bartkowski motion was seconded and approved.

### University Senate

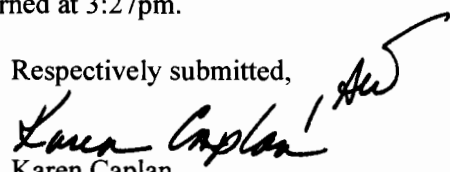
Professor Stan Hall, University Senate representative, reported that President McCormick gave the Annual Address to the university community at the September meeting; Interim Provost Margaret Marsh gave the report on various activities at the Camden campus and the Budget and Finance Committee discussed all funds budgeting at the October meeting. In addition, the University Senate continued discussions regarding the Academic Integrity Policy and requested feedback from the faculty and students at the November meeting (see Attachment 1).

### New Business

Dean Yeagle discussed briefly all funds budgeting.

There was no Old Business. The meeting adjourned at 3:27pm.

Respectively submitted,

  
Karen Caplan  
Faculty Secretary

Date: November 26, 2007  
To: Faculty of Arts and Sciences – Newark  
From: Frances Bartkowski, Chair *FB (VS)*  
Courses of Study Committee

The committee recommends approval for the following course requests:

**I. Biology**

**Change in Number**

From: 21:120:430 Plant Growth and Development (4 credits)

To: 21:120:332 Plant Growth and Development (4 credits)

**II. English**

**New Course**

21:350:355 Early Caribbean Literature (3 credits)

**Change in Title**

From: 21:350:356 Caribbean Literature (3 credits)

To: 21:350:356 Modern Caribbean Literature (3 credits)

**New Course**

21&62:350:205&206 Writers at Newark I & II: Contemporary American Literature (3, 3 credits)

**III. History**

**New Course**

21&62:510:301 Film and History (3 credits)

**IV. Philosophy**

**Number Change**

From: 21:730:272 Metaphysics and Philosophy of Mind (3 credits)

To: 21:730:372 Metaphysics and Philosophy of Mind (3 credits)

November 26, 2007

## V. Political Science

### **Designation Proposal**

21&62:790:356 Sex, Law and Public Policy to Interdisciplinary

21&62:790:306 Politics and Literature to Interdisciplinary

21&62:790:385 Religion, Politics, and Public Policy to Interdisciplinary

## VI. Visual and Performing Arts

### **New Minor**

21&62: 082 Art History Minor

## VII. Writing Program

### **Change in Subject Code and Course Number**

From: 21:300:142 Communication Skills (2 + N4 credits)

To: 21&62:098 Communication Skills (2 + N4 credits)

From: 21:300:143 Communication Skills II (2 + N4 credits)

To: 21&62:099 Communication Skills II (2 + N4 credits)

### **Change in Subject Code**

From: 21:350:100 Writing Workshop (N1 credits)

To: 21:355:100 Writing Workshop (N1 credits)

From: 21:350:101/102 English Composition I & II (3, 3 credits)

To: 21:355:101/102 English Composition I & II (3, 3 credits)

From: 21:350:103/104 Honors Composition I & II (3, 3 credits)

To: 21:355:103/104 Honors Composition I & II (3, 3 credits)

From: 21:350:306 Advanced Composition (3 credits)

To: 21:355:306 Advanced Composition (3 credits)



**Rutgers University Senate  
Budget and Finance Committee  
Report and Recommendations on  
All Funds Budgeting  
October 2007**

***1. The Charge***

**Charge S-0504:** Review and evaluate the processes and policies related to All Funds Budgeting. Report to Senate Executive Committee by May 2007

***2. Acknowledgement***

This charge was dealt with extensively in several meetings of the Senate Budget and Finance Committee and in many other occasions by a designated subcommittee during the 2006/2007 academic year. Members of the Budget and Finance committee met with many members of the Rutgers community for formal and informal discussions regarding this charge. The subcommittee met with Executive Vice President Philip Furmanski and Vice President Nancy Winterbauer for lengthy discussions, as well as with Provosts, Deans, department chairs and other faculty members and administrators. The help, the information and the support received from each and every one of our colleagues is gratefully acknowledged. Unless explicitly quoted, we cannot separate the committee's opinion and suggestions from those brought to our attention by others and we assume the responsibility as if they were originated by us.

***3. Summary***

The Senate Budget and Finance committee and the University administration consider the implementation of All-Funds Budgeting (AFB for short) as a good move in the right direction for the university community. The AFB is expected to increase the transparency and efficiency of shared governance by creating budgetary incentives and by shifting fiscal responsibility from central administration down to the functioning units. However, as is often the case, the details are of major importance for the success of the initiative.

The detailed report below reviews the AFB issues raised in the long discussions. The implementation of the AFB is a long process and one of the recommendations of this report is to keep an open discussion with the administration regarding some issues that are important to all members of the Rutgers community.

At the current rates, the scope of AFB and the automatic payment received from the tuition is somewhat limited. As total tuition income is less than the cost of education the "net tuition" received by the units is usually smaller than their operating expenses. Additional funds (sometimes referred to as "Basic Subsidies") are allocated. The lack of transparency that is

associated with the allocation of these funds might undermine some of the main goals of AFB as discussed below.

#### **4. The current state of AFB**

- 1) All-Funds Budgeting has so far been presented and understood primarily as a new method of allocating revenues and expenses, emphasizing local responsibility for generating revenues.

However, the leaders of the effort – Executive Vice President For Academic Affairs Philip Furmanski and Vice President for University Budgeting Nancy Winterbauer – are seeking to fundamentally reframe this characterization: they emphasize that budgeting is only a part of a larger effort which centers on *planning*. Their goal is to “create a process where people lay out their visions and plans, with a sense of the budget for accomplishing them.”

- 2) For the planning system, according to Executive Vice-President Furmanski, *the single priority is academic excellence*; budgeting goals are subordinate.

- a) The fundamental planning process is a regular planning dialogue between units and administration. Deans are expected to present their priorities and to justify them as ways of improving academic excellence. Each academic unit is responsible for defining its own mission and criteria of academic excellence.

In these meetings AVP Furmanski seeks a conversation about progress to date, planning for future, and needed investments. He asks deans what investments they have made to advance their missions, what programs they propose for the future, and how they propose to provide the needed resources.

- b) Units ordinarily must generate the resources to fund their academic plans. At times, however, the criterion of academic excellence may mean that certain initiatives will be funded by the administration even when money is not available to the unit. Conversely some activities of units may not be allowed even if these units have the money.
- c) To the extent that the central administration provides funds for new initiatives, it does so as an investment – it acts as a “bank” rather than as a “foundation,” and expects a plan for repayment or at least self-sufficiency over time.
- d) There is no specific required planning process beyond the decanal level. The administration urges all units to conduct internal planning discussions, but believes that the format should be left flexible to accommodate differences of history, size, etc.

- 3) As a budgeting mechanism, the All-Funds Budgeting institutive has two main purposes:

- a) To create a transparent, consistent process for allocation of resources across the University. In the past budgets were heavily influenced by tradition and special deals. The AFB effort aims to move beyond this to a consistent set of principles and processes. This is a complicated problem in itself, requiring new databases, reporting processes, etc., and is still incomplete.

b) To make all levels of the University “budget-aware” – especially faculty, staff, and others who have rarely paid attention to the financial consequences of their decisions.

i) Goals as stated by Vice President for University Budgeting Nancy Winterbauer include:

- “more attention to increasing revenue sources that units have greater control over.”
- “greater incentives to increase certain revenues by equitable and more aggressive allocation to generating units.”
- “clearer understanding of effects of actions on revenues, e.g. enrollment/tuition link and effects of tuition discounting.”

Thus the budgeting system seeks to increase decentralization and local responsibility for revenues. For example, it has become easier to move dollars between salary and non-salary categories; and the indirect cost return to units for grants has been increased from 10.5% to 42% this year (FY08), with an eventual goal of as much as 50%.

The budgeting system provides strong incentives to maintain or increase unit enrollments: enrollment declines or increases can have immediate and very visible impact on departmental budgets.

Vice-President Winterbauer: “When you’re making choices about enrollments and class sizes you want to think about what you want to accomplish and also about revenue consequences.”

4) These changes involve deep cultural reorientations which are expected to take some years to percolate through the University. In EVP Furmanski’s words, the goal is “a culture of self-determination” in which units take active responsibility for academic excellence within a realistic budgetary framework, with less dependence on central administration.

5) AFB implementation at Rutgers

a) There are two basic rules for budget allocations between central administration and the decanal units:

i) 55% of tuition dollars are returned to the deans; 45% is held by the central administration for shared services and administrative overhead.

The returned dollars are then further divided: 70% to the dean of the teaching unit, and 30% to the enrolling unit.

Exception: Off-campus tuition dollars are returned 85% to the originating unit.

ii) 42% of research Indirect Cost Return (ICR) dollars are currently (FY08) returned to the dean of the originating units (with plans to continue increasing this share); the remainder is held by the central administration to support administrative costs.

b) The 45% share for central administration covers *actual expenses* for shared services such as power, maintenance, etc. It does not include any “reserve” funds

for investment or special allocations. As a result, it could vary in the future depending on expenses: sharp shifts in energy costs, for instance, could lead to changes in the 45% share.

- c) Deans have discretion on how they distribute the returned dollars within their units.
  - d) Funds for investments in new initiatives, etc., come from other sources: primarily donations, summer school tuition, and indirect cost return (ICR) from research grants. These are allocated and disbursed campus-by-campus: New Brunswick initiatives, for instance, are funded by New Brunswick donations, summer school, and ICR.
- 6) The implementation is still in a relatively early phase with many incomplete elements:
- a) Administrative units are not yet covered by AFB. The budget crisis has delayed implementation in this area; also, many of these units do not generate revenues.
  - b) In the academic units, decision processes vary widely in structure and effectiveness. Some provosts and deans discuss allocations with their subordinates, others apparently do not.
    - i) AFB has apparently not been rolled out in Newark as far as it has been in New Brunswick.
  - c) Because of the state budget crisis, budgets were not adjusted as planned during the 2006-2007 budget year. Units were informed what the impact of enrollment changes would have been, but the dollars were not deducted.
  - d) When AFB was started, each decanal unit was given a "basic subsidy" to maintain its budget at historic levels. Subsequent budget adjustments were made from that base. Unit budgets still contain a "basic subsidy" line which is relatively constant but may vary with changes in the state budget.

##### **5. Current views of faculty, other stakeholders, and the administration:**

We have found that understanding of the AFB initiative among faculty and staff is still poor. There is very little knowledge of the *planning* process in most units; the *budgeting* process has gotten somewhat more attention and is often viewed with concern.

The administration acknowledges need for better communication and education, but it also argues that many of the concerns are unfounded.

Widely-expressed concerns, along with the administration's current view:

- 1) The allocation of expenses:
  - a) Units are now required to cover salary and FASIP increases for their faculty and staff. This raises the possibility that some units might not be able to cover negotiated contractual increases, or that units might have incentives to deny merit increases (APS) to staff members. Some see this as a kind of "unfunded mandate." Similar concerns may apply to recruiting and to the salaries of new faculty.

The administration notes that the key change, and in their view a necessary one, is that units are now more responsible for balancing salary increases with other

spending priorities. In unusual cases, where units have real problems covering commitments, central funds may be used to help – ordinarily on a “loan” basis.

- b) Some units that have received ICR increases say that they have been asked to take on other expenses that previously were borne by the central administration, such as electricity or building renovations.

The administration says that despite these perceptions, all basic shared services, including electricity and building maintenance, continue to be paid from the central funds. Renovations and expansions of plant may be paid for in a number of ways: from local All-Funds Budgets, from special investments by the central administration, or by state bond issues.

## 2) Uncertainty and difficulty in planning unit budgets

- a) AFB is resulting in a considerable increase in variation of unit budgets from year to year: the normal quasi-random fluctuation of enrollment and grants will have deep impacts on operating budget and make it difficult for the units to plan for the future.

The administration’s view is that units must begin to engage in contingency planning with a recognition of the likely range of variation. For particularly onerous or unexpected changes, the administration has enough discretion to help.

The administration has rejected notions such as rolling averages or “insurance” against sudden changes because they have found that these allow units to let problems go too long; they believe it is better to have a hard rule with some flexibility in the system. They acknowledge, however, that this is an issue worth watching.

## 3) Excessive focus on grants and enrollment increases, potentially at the expense of other priorities. Various parties we have spoken have expressed concerns:

- a) that support for PhD programs and others with low tuition returns will be reduced
- b) that faculty will avoid independent study, mentoring, special research experiences, and other low-enrollment teaching
- c) that inter-unit collaboration will be discouraged
- d) that service to the state and outside constituencies will be diminished
- e) that excellence in teaching and research will take a back seat to entrepreneurial success with enrollment and grants
- f) that student research and laboratory experience will be discouraged because it does not contribute to enrollments

The administration recognizes a tension that must be continually managed. The problem in the past, in their view, has been that unit decisions have been completely disconnected from budget considerations; but they also see it as important to avoid going to other extreme “where enrollment drives everything.”

The administration also believes, however, that the planning process will enable the University to avoid the danger of overemphasis on budgeting incentives. For example, even though PhD programs and laboratory experiences are often not the best ways to

maximize revenues, they are central to the core mission of academic excellence; therefore units will not be allowed to drop them for purely financial reasons. The central administration will place a high priority on working out mechanisms of sustainable funding. Similarly, there is nothing in the current system that discourages collaborative efforts, and the administration will continue to encourage them.

4) Lack of transparency:

- a) There does not appear to be consistent handling of allocation below the decanal level; there is even considerable variation at the Provost level.
- b) There is considerable variation in the implementation of planning across the campuses. Newark has adopted a more centralized approach, and Camden a more decentralized one, than New Brunswick. There also seems to be considerable variation in approach among deans. Again, this makes planning inconsistent and opaque.
- c) The “basic subsidy,” and variations in it, have not been clearly explained.

The administration’s view is that there should be considerable local discretion, but that there will be a gradual clarification of the overall processes and guidelines.

## **6. Assessment**

We agree that many existing concerns are either results of a lack of information and understanding of the AFB effort, or artifacts of its incomplete development; many aspects are just starting and have not been worked through. We also believe that the overall goals of transparency and budget awareness, as stated by the administration, are positive and indeed vital to the future of the University.

However, there remain two major concerns which we believe could fundamentally undermine the goals expressed by the administration:

### **1. Inadequate planning mechanisms**

The administration properly stresses that AFB should work within and be guided by a larger planning framework, but it does not have in place a widely understood or credible planning process. Planning seems to be ad-hoc and weak compared to the clear incentives provided by AFB for maximization of tuition and research dollars.

In New Brunswick, priorities are set by annual discussion between Dr. Furmanski and the deans. However, there is little transparency to this process, little awareness of it among other stakeholders, and little opportunity for debate. The planning criteria may be clear to the administration but are not widely understood or accepted among the constituencies.

Given the fact that, at the unit level, the planning process is opaque and the AFB rules are clear, the latter are likely to dominate decision-making within the units – with a resulting overwhelming stress on maximization of tuition and research dollars. Discussions between the deans and EVP Furmanski may be able to prevent large distortions of the incentive system, but they are too blunt and infrequent to guide daily decision-making that may respond overly heavily to the tuition and research incentives.

### **2. Lack of stakeholder involvement**

AFB has strong potential effects on academic programs. Though the original plan was developed by a task force which included faculty, there has been little sense of involvement in this vital process from the bulk of the faculty or other stakeholders. The New Brunswick Faculty Council has protested the lack of faculty involvement in the budgeting process.<sup>1</sup> Staff have for the most part been even less involved.

One result of these two weaknesses is that stakeholders, including many administrators, are far more focused on the budgeting than the planning aspect of All-Funds Budgeting. They do not feel a part of a comprehensive planning process. Some are focused on how to maximize revenues within the AFB framework, others are concerned about the impacts that these strong and simple incentives will have; few understand or feel connected to the more complex goals sought by the administration.

### **7. Recommendations:**

1. The university should develop a more consistent process for transparent and participative planning. There should be clarification of strategic priorities other than tuition maximization, with processes for deciding the balance of priorities and appropriate rewards.

The University Strategic Plan highlights several key priorities, including academic excellence, service to the state, and inter-unit collaboration. The Strategic Plan has not been cited by the administration as a reference-point for planning. If it is to play this role, it needs to be elaborated and discussed more widely in the University.

2. The administration should establish regular discussions about the budget and planning process with a credible stakeholder group. This could be an existing group, such as a committee of the University Senate; or a combination of representatives from the Senate, Faculty Councils, and other key groups; or an entirely new body. This group should:
  - a. consider the general issues discussed above – such as how to better integrate planning with budgeting and to better involve the University community;
  - b. propose ways to increase the transparency of the process;
  - c. continue to review AFB as it develops to avoid unintended consequences and distortions;
  - d. help to publicize and generate understanding and debate around the AFB system among the various University constituencies.
  - e. consider and make recommendations about particular matters including:
    - Ways of mitigating the effects of enrollment fluctuations on units. A moving average basis for allocating funds or some type of “insurance against sharp changes” should be considered.
    - Principles for the allocation of funds among central administration, decanal units, departments, and other units.
    - The extension of AFB to non-academic units.
    - The handling of salary increases and merit awards in units.
    - The encouragement of collaborative activities between departments

- The handling of split lines, shared teaching, and other collaborative issues between departments.

The direction of change charted by AFB and the associated planning initiatives is vital to the health of the University. Our hope is to strengthen the process by building wider understanding and commitment, and by better including the key priorities of the University. The Senate, representing all the major University constituencies, is prepared to help actively in promoting that understanding and commitment.

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<sup>1</sup> Interim Report of the NBFC Budget and Planning Committee on the Proposed All-Funds Budgeting Process, February 27, 2004



## Information for Senate Discussion of the Academic Integrity Policy

### Background

The Rutgers University Academic Integrity Policy dates from the 1980s, and is in need of some updating and substantive revision. In the fall of 2004, The Senate's Academic Standards, Regulations and Admissions Committee (ASRAC) was charged with reviewing the academic integrity policy. Almost simultaneously, Vice President Furmanski appointed an ad hoc Academic Integrity Committee (AIC) of staff, faculty, and students, chaired by Prof. Donald McCabe, and charged it with drafting a new academic integrity policy. The Senate's Executive Committee then put ASRAC's charge on hold until the AIC completed its review of the current policy. The AIC presented two major drafts of the proposed new policy to ASRAC, one in fall 2005 and the second early in the spring 2007 semester. ASRAC supported the main thrusts of the proposed new policy but had serious concerns about a number of elements. Equally important, ASRAC is unwilling to recommend the implementation of any new academic integrity policy without a good deal more input from the university community. The Senate's committee-of-the-whole discussion of academic integrity on November 2 is the first step in obtaining additional community input.

### Brief Summary of the Current Academic Integrity Policy

The current Academic Integrity Policy recognizes four levels of violations of academic integrity, each with suggested penalties. In order of increasing seriousness, the levels are

- Level 1, for which the normal penalty is a make-up assignment of some sort
- Level 2, for which the penalty often includes disciplinary probation
- Level 3, for which the normal penalty is suspension for one or more semesters
- Level 4, for which the normal penalty is permanent expulsion from the university with a notation of disciplinary separation on the transcript

Typical offenses at each level are given in the Academic Integrity Policy. Level 3 and 4 offenses are called "separable" because temporary or permanent separation from the university is a normal penalty. Level 1 and 2 offenses do not evoke that penalty, and are therefore "non-separable." Non-separable offenses are handled at the school or college level; separable offenses are handled by the Office of Student Judicial Affairs according to the procedures of the University Code of Student Conduct, which gives students the right to a hearing before a panel of faculty and students.

### Suggested Questions for Discussion

The Senate Executive Committee's intention in docketing this committee-of-the-whole discussion in the Senate is to augment the ASRAC and AIC work by eliciting from the Senate input and comments on areas of the draft, revised academic integrity policy where the Senate's ASRAC could not reach agreement. Comments on any area of the policy are welcome, but **Senate input on the issues and questions below will be particularly useful in guiding the continued work on the policy that will ultimately be brought for Senate endorsement:**

1. The major change proposed by the ad-hoc committee was to have all alleged non-separable offenses handled by the faculty member teaching the course, who would inform the student of the alleged violation; give the student a chance to respond; impose an appropriate academic sanction, up to and including an F for the course, if he or she still believed the student committed the offense; and report the offense and sanction to a central reporting office. If the student did not admit responsibility or disagreed with the sanction imposed, he or she could appeal the finding or sanction in writing to a three-member panel consisting of one student, one faculty member, and one staff member.
  - How is this fair, or unfair, to students?
  - What are the obstacles to faculty acceptance of this rule?

## ATTACHMENT 1

- Is it appropriate to require faculty to handle all allegations of non-separable offenses themselves? Or should faculty have the option of referring a particular alleged non-separable violation to a judicial officer for adjudication?
  - Is it overly burdensome to place on faculty the responsibility for the investigation, the adjudication, and the sanction in these matters?
- II. Where and how to draw the line between separable and non-separable offenses.
- Is the point of differentiation between separable and non-separable offenses in the current policy clear and appropriate?
  - Is a measure of leniency for first-offense violations of academic integrity advisable?
  - The final AIC proposal divides violations into three categories: presumptively separable, presumptively non-separable, and discretionary. Offenses in the last category could be treated as separable or non-separable depending on the level and experience of the student, the level of premeditation, etc. The faculty member would make the determination as to whether the offense should be treated as separable or non-separable and would have considerable leeway in doing so. What do you think of this proposal?
- III. The extent to which academic integrity policies and procedures for graduate students and for professional students (particularly law students) should differ from those for arts and sciences undergraduates.
- The current academic integrity policy says that all substantive violations of academic integrity by a graduate student should be treated as level 4 offenses, and includes among level 4 violations “willful violation of a canon of the ethical code of the profession for which a graduate student is preparing.” Do you think this differentiation is adequate?
  - The proposal from the AIC handles the differences between undergraduates and graduate students by means of the discretionary category, which allows a faculty member to consider the level of the student in deciding whether a particular offense should be treated as separable or non-separable. Do you think this is adequate?
  - If you don’t agree with either of the above, to what extent do you think the academic integrity policy and procedures should be different for graduate students, if at all? For professional students?
  - What are the challenges to, or benefits of, applying the same system to graduate students?
  - Should a student’s undergraduate or graduate status be considered only in determining the sanction?
- IV. Simplifying the procedures for handling non-separable offenses may have little effect on the reported proportion of total violations unless the handling of allegations of separable violations under the University Code of Student Conduct are changed to make them less onerous and offensive to faculty members without decreasing the right of students to due process and fair treatment. One proposal that has considerable support in ASRAC is to stop the current practice of requiring the faculty member bringing the complaint to serve as the “prosecutor” in a judicial hearing; i.e., arrange for witnesses, present the evidence, question the accused student and his/her witnesses, prepare opening and closing statements, etc. Rather, it was suggested that a designated dean or Judicial Affairs Officer should present the case unless the faculty member wishes to do so, with the faculty member serving as a witness where appropriate.
- Are changes needed in the handling of separable violations of academic integrity?
  - Should faculty members be required to present the case at a hearing?
  - Do you have other suggestions for improving the handling of separable offenses?
- V. Based on your experience with the student judicial system or that of your friends or colleagues, what aspects of the academic integrity policy and procedures do you believe are most in need of change?

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OFFICE OF STUDENT JUDICIAL AFFAIRS

**Judicial Affairs Links**

- Code of Student Conduct
- The Judicial Process
- University Hearing Board
- Continuing Education
- Campus Advisors
- University Policies & Links
- Reports and Disclosures
- FAQ
- Sitemap
- Forms
- Policy Interpretations
- Publications
- Judicial Affairs Home



**Academic Integrity Policy**

Academic Integrity

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- Facilitating Academic Dishonesty
- Plagiarism
- Denying others access to information or material

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**I Academic Integrity**

Academic freedom is a fundamental right in any institution of higher learning. Honesty and integrity are necessary preconditions of this freedom. Academic integrity requires that all academic work be wholly the product of an identified individual or individuals. Joint efforts are legitimate only when the assistance of others is explicitly acknowledged. Ethical conduct is the obligation of every member of the University community, and breaches of academic integrity constitute serious offenses.

Maintenance of the standards of academic honesty and the successful administration of this policy depend on the mutual cooperation of faculty and students. Dissemination of the Academic Integrity Policy to all faculty, staff, and students will ensure that all members of the community are informed about academic integrity.

Faculty cooperation is essential for successful application of the procedures defined by the Academic Integrity Policy. Faculty members can help promote academic integrity by making clear on their syllabi their expectations concerning homework assignments, collaborative student efforts, research papers, examinations, and the like. Efforts should be made to detect and to prevent cheating and plagiarism in all academic assignments. If faculty members have evidence of academic dishonesty, they are expected to report such evidence promptly.

Students must assume responsibility for maintaining honesty in all work submitted for credit and in any other work designated by the instructor of the course. Students are also expected to report incidents of academic dishonesty to the instructor or dean of the instructional unit.

This policy seeks to demonstrate the University's concern with academic dishonesty and to guarantee a fair procedure for resolving complaints of academic dishonesty.

**II Violations of Academic Integrity**

The various ways in which academic honesty can be violated are discussed below. The comments and examples within each section provide explanations and illustrative material, but do not necessarily exhaust the

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scope of these violations.

### A. Cheating

Cheating is the use of inappropriate and unacknowledged materials, information, or study aids in any academic exercise. The use of books, notes, calculators and conversation with others is restricted or forbidden in certain academic exercises. Their use in these cases constitutes cheating. Similarly, students must not request others (including commercial term paper companies) to conduct research or prepare any work for them, nor may they submit identical work or portions thereof for credit or honors more than once without prior approval of the instructor.

### B. Fabrication

Fabrication is the falsification or invention of any information or citation in an academic exercise. "Invented" information may not be used in any laboratory experiment or other academic exercise without authorization from the instructor. It is improper, for example, to analyze one sample in an experiment and covertly "invent" data based on that single experiment for several more required analyses. The student must also acknowledge reliance upon the actual source from which cited information was obtained. A writer should not, for example, reproduce a quotation from a book review and indicate that the quotation was obtained from the book itself.

### C. Facilitating Academic Dishonesty

Students who knowingly or negligently allow their work to be used by other students or who otherwise aid others in academic dishonesty are violating academic integrity. Such students are as guilty of intellectual dishonesty as the student who receives the material even though they may not themselves benefit academically from that dishonesty.

### D. Plagiarism

Plagiarism is the representation of the words or ideas of another as one's own in any academic exercise. To avoid plagiarism, every direct quotation must be identified by quotation marks or by appropriate indentation and must be properly cited in the text or in a footnote. Acknowledgment is required when material from another source stored in print, electronic or other medium is paraphrased or summarized in whole or in part in one's own words. To acknowledge a paraphrase properly, one might state: "to paraphrase Plato's comment..." and conclude with a footnote identifying the exact reference. A footnote acknowledging only a directly quoted statement does not suffice to notify the reader of any preceding or succeeding paraphrased material. Information which is common knowledge such as names of leaders of prominent nations, basic scientific laws, etc. need not be footnoted; however, all facts or information obtained in reading or research that are not common knowledge among students in the course must be acknowledged.

In addition to materials specifically cited in the text, only materials that contribute to one's general understanding of the subject may be acknowledged in the bibliography. Plagiarism can, in some cases, be a subtle issue. Any questions about what constitutes plagiarism should be discussed with the faculty member.

### E. Denying others access to information or material

It is a violation of academic integrity to deny others access to scholarly resources, or to deliberately impede the progress of another student or scholar. Examples of offenses of this type include: giving other students false or misleading information; making library material unavailable to others by stealing or defacing books or journals, or by deliberately misplacing or destroying reserve materials; or altering computer files that belong to another.

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## III Academic Dishonesty Offenses and Sanctions

Any violation of academic honesty is a serious offense and is therefore subject to an appropriate penalty. Violations at Rutgers University are classified into four levels according to the nature of the infraction. For each level of violation a corresponding set of sanctions is recommended. Deans and Hearing Panels are not bound by these illustrations, which are intended as general guidelines for the academic community. Since adherence to a code of conduct can be seen as a function of socialization into the group whose norms are reflected in such a code, culpability may be assessed differentially for those with more and less experience as members of the academic community; thus, violations of academic integrity by graduate students will presumably be penalized more severely than violations by first semester first year students. Examples are cited below for each level of violation. These examples, too, are illustrations and are not to be considered

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all-inclusive.

### Level One Violations

Level One violations may occur because of inexperience or lack of knowledge of principles of academic integrity on the part of persons committing the violation. These violations are likely to involve a small fraction of the total course work, are not extensive, and/or occur on a minor assignment. Cases involving Level One violations may be heard by discipline panels of the colleges and schools in New Brunswick. The following are examples:

1. Working with another student on a laboratory or other homework assignment when such work is prohibited.
2. Failure to footnote or give proper acknowledgment in an extremely limited section of an assignment.

Recommended sanctions for level one violations are listed below; one of these may be chosen in each case:

1. Required attendance in a non-credit workshop or seminar on ethics or related subjects.
2. An assigned paper or research project on a relevant topic.
3. A make-up assignment at a more difficult level than the original assignment.
4. A recommendation to the instructor that no credit be given for the original assignment.

Records of students who commit Level One offenses will be maintained in the respective Dean's Offices until graduation.

### Level Two Violations

Level Two violations are characterized by dishonesty of a more serious character or which affects a more significant aspect or portion of the course work. Cases involving Level Two violations may be heard by discipline panels of the college in which the student is a candidate for a degree, or, in the case of a student who is not a candidate for a degree, by the disciplinary panel of such unit as will be assigned by the Office of the Vice President of Student Affairs. The following are examples:

1. Quoting directly or paraphrasing, to a moderate extent, without acknowledging the source.
2. Submitting the same work or major portions thereof to satisfy the requirements of more than one course without permission from the instructor.
3. Using data or interpretative material for a laboratory report without acknowledging the sources or the collaborators. All contributors to preparation of data and/or to writing the report must be named.
4. Receiving assistance from others, such as research, statistical, computer programming, or field data collection help that constitutes an essential element in the undertaking without acknowledging such assistance in a paper, examination or project.

The recommended sanction for Level Two violations is disciplinary probation. In cases of academic dishonesty involving out-of-class assignments, the panel may recommend a failing grade for the assignment involved and the grade in the course will be determined in the normal manner. However, cheating on a take-home final examination would normally carry a recommended penalty that the faculty member fail the student in the course, as well as disciplinary probation.

Notation of disciplinary probation will be placed on the student's transcript and will remain for the period in which the sanction is in force. Records of students who commit Level Two offenses will be maintained in the respective Dean's Office until graduation.

### Level Three Violations

Level Three violations are those that go beyond level one or two and that, in the opinion of the College Judicial Officer require adjudication at the University level. Level Three violations include dishonesty that affects a major or essential portion of work done to meet course requirements, or involves premeditation, or is preceded by one or more violations at levels one and two. Cases involving Level Three violations are heard under the University Code of Student Conduct. Examples include:

1. Copying on hourlies or final examinations.
2. Plagiarizing major portions of a written assignment.
3. Acting to facilitate copying during an exam.
4. Using prohibited materials, e.g., books, notes, or calculators during an examination.
5. Collaborating before an exam to develop methods of exchanging information and implementation thereof.

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6. Altering examinations for the purposes of regrading.
7. Acquiring or distributing an examination from unauthorized sources prior to the examination.
8. Presenting the work of another as one's own.
9. Using purchased term paper or other materials.
10. Removing posted or reserved material, or preventing other students from having access to it.
11. Fabricating data by inventing or deliberately altering material (this includes citing "sources" that are not, in fact, sources).
12. Using unethical or improper means of acquiring data.

The sanction typically to be sought for all Level Three violations or repeated violations of Level One and Two offenses is a minimum of a one semester suspension from the University.

### Level Four Violations

Level Four violations represent the most serious breaches of intellectual honesty.

Such cases are heard under the University Code of Student Conduct. Examples of Level Four violations include:

1. All academic infractions committed after return from suspension for a previous academic honesty violation.
2. Infractions of academic honesty in ways similar to criminal activity (such as forging a grade form, stealing an examination from a professor or from a university office; buying an examination; or falsifying a transcript to secure entry into the University or change the record of work done at the University).
3. Having a substitute take an examination or taking an examination for someone else.
4. Fabrication of evidence, falsification of data, quoting directly or paraphrasing without acknowledging the source, and/or presenting the ideas of another as one's own in a senior thesis, within a master's thesis or doctoral dissertation, in scholarly articles submitted to refereed journals, or in other work represented as one's own as a graduate student.
5. Sabotaging another student's work through actions designed to prevent the student from successfully completing an assignment.
6. Willful violation of a canon of the ethical code of the profession for which a graduate student is preparing.

The typical sanction for all Level Four violations and a repeat infraction at level three is permanent expulsion from the University. Such cases are heard under the University Code of Student Conduct. Notation of "academic disciplinary separation" will be placed on a student's transcript and remain permanently.

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## IV Consequences of Violating the Academic Integrity Policy

Students committing acts of academic dishonesty not only face university censure but run a serious risk of harming their future educational and employment opportunities. In addition to the notation for a specific sanction placed on the student's transcript and which remains for the term of the sanction, prospective employers and other educational institutions frequently use recommendation forms that ask for judgment and comment on an individual's moral or ethical behavior. Since such forms are sent with the permission of the student, University faculty and administrators knowledgeable of academic dishonesty infractions are ethically bound to report such incidences. In all cases in which a grade of "F" is assigned for disciplinary reasons, moreover, the "F" will remain on the student's transcript, even if the course is retaken and a passing grade is achieved.

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## V Administration of the Academic Integrity Policy

### A. Committee on Student Conduct

The Committee on Student Conduct will be responsible for monitoring the Policy on Academic Integrity, and will serve as a hearing appeals board for all cases of academic dishonesty in New Brunswick that involve separation from the University. The committee shall meet at least once a semester.

### B. Complaint Procedure

Evidence of academic dishonesty should initially be brought to the attention of the instructor or to the dean of the degree granting unit or his/her designate, but any member of the academic community may present evidence of academic dishonesty to the dean. If a student reports a breach of the policy, the instructor of the course is obliged to cooperate in

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undertaking an investigation. If a student (or students) from only one degree-granting unit is involved, the case will be assigned to the College Judicial Officer of the student's (or students') degree-granting unit.

Any questions concerning the appropriate level of a particular offense should be referred to the College Judicial Officer who, in consultation will make a determination.

Students may continue to participate in a course or research activities until the case has been adjudicated. Under no circumstances should a student be offered a choice of either dropping a course or facing disciplinary action.

All disciplinary proceedings are confidential. Faculty members and students are cautioned not to discuss cases of academic dishonesty outside of the legitimate hearings prescribed by the policy.

If the penalty for an offense is one for which the sanction is separation from the University, (Level Three and Level Four), the dean of the degree-granting unit will notify the New Brunswick Disciplinary Officer and send the case to the Office of the Vice President for Student Affairs to be heard under the University Code of Student Conduct. Hearing guidelines and appeal procedures are outlined in the Code of Student Conduct.

### VI Amendments to the Integrity Code

#### A. Minor Changes

The New Brunswick Committee on Student Conduct may recommend minor changes which will go into effect at the beginning of the next academic year, providing that all units have been informed of the proposed changes and none has objected that the changes are major ones.

#### B. Major Changes

Major changes, like minor ones, may be proposed by any unit for consideration by the University Senate. If units representing three-fifths of the total number of faculty members and three-fifths of the units in New Brunswick approve the proposed changes, then the changes will become part of the policy.

### Afterword

The Policy on Academic Integrity was developed by a committee composed of representatives from all the undergraduate and graduate schools of the New Brunswick Campus. Comments and suggestions were made by the Deans, faculty, students, and staff members in the various academic units and in the Office of the Provost. The academic integrity regulations of many other major public institutions were consulted. The University is indebted to all those who have contributed their ideas to this policy. Requests for additional copies should be directed to either the College Judicial Officers or the Director of Judicial Affairs.

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Updated to be in compliance with the Code of Student Conduct: 1997

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Last updated: 10/23/2007

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